



Attorney Docket No. 108298758US  
Disclosure No. 03-0103

PTO/SB/21 (05-03)  
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<b>TRANSMITTAL FORM</b> <i>(to be used for all correspondence after initial filing)</i>	Application Number	10/783,763	
	Filing Date	February 20, 2004	
	First Named Inventor	Whonchee Lee	
	Art Unit	(To Be Assigned)	
	Examiner Name	(To Be Assigned)	
Total Number of Pages in This Submission	9*	Attorney Docket Number	108298758US

ENCLOSURES (Check all that apply)		
<input type="checkbox"/> Fee Transmittal Form <input type="checkbox"/> Fee Attached <input type="checkbox"/> Amendment/Reply <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input checked="" type="checkbox"/> Information Disclosure Statement <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> Response to Missing Parts/Incomplete Application <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition <input type="checkbox"/> Petition to Convert to a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund <input type="checkbox"/> CD, Number of CD(s)	<input type="checkbox"/> After Allowance communication to Group <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input checked="" type="checkbox"/> Other Enclosures: 1) Form PTO-1449; 2) Cited References (29) 3) Return Receipt Postcard
<b>Remarks</b>		

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT	
Firm or Individual name	John M. Wechkin Registration No. 42,216
Signature	
Date	March 18, 2004

CERTIFICATE OF TRANSMISSION/MAILING			
I hereby certify that this correspondence is being facsimile transmitted to the USPTO or deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on the date shown below.			
Typed or printed name	Stephen P. Whelan		
Signature		Date	March 19, 2004

This collection of information is required by 37 CFR 1.5. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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Date: March 19, 2004

By: Stephen P. Whelan  
Stephen P. Whelan

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

IN RE APPLICATION OF: WHONCHEE LEE  
APPLICATION No.: 10/783,763  
FILED: FEBRUARY 20, 2004  
FOR: **METHODS AND APPARATUSES FOR  
ELECTROCHEMICAL-MECHANICAL  
POLISHING**

EXAMINER: (TO BE ASSIGNED)  
ART UNIT: (TO BE ASSIGNED)  
CONF. NO: (TO BE ASSIGNED)

**Information Disclosure Statement Within Three Months of  
Application Filing or Before First Action – 37 C.F.R. § 1.97(b)**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

1. Timing of Submission

This information disclosure is being filed within three months of the filing date of this application or date of entry into the national stage of an international application or before the mailing date of a first Office action on the merits, whichever occurs last [37 C.F.R. § 1.97(b)]. The references listed on the enclosed Form PTO-1449 (modified) may be material to the examination of this application; the Examiner is requested to make them of record in the application.

2. Cited Information

- ☒ Copies of the following references are enclosed:
- ☐ All cited references
  - ☒ References marked by two asterisks (\*\*)
- ☒ This application was filed after 30 June 2003 and no copies of U.S. patents nor published applications are enclosed (See Notice of Deputy Commissioner Kunin on 11 July 2003).
- ☒ The following references are not in English. For each such reference, the undersigned has enclosed (i) a translation of the reference; (ii) a copy of a

communication from a foreign patent office or International Searching Authority citing the reference, (iii) a copy of a reference which appears to be an English-language counterpart, or (iv) an English-language abstract for the reference prepared by a third party. Applicant has not verified that the translation, English-language counterpart or third-party abstract is an accurate representation of the teachings of the non-English reference, though, and reserves the right to demonstrate otherwise.

- ☐ All cited references  
☒ The following: JP 2001077117 A1

3. Effect of Information Disclosure Statement (37 C.F.R. § 1.97(h))

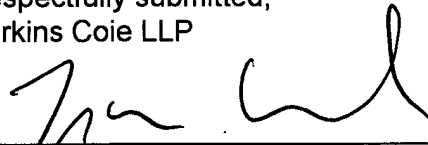
This Information Disclosure Statement is not to be construed as a representation that: (i) a search has been made; (ii) additional information material to the examination of this application does not exist; (iii) the information, protocols, results and the like reported by third parties are accurate or enabling; or (iv) the cited information is, or is considered to be, material to patentability. In addition, applicant does not admit that any enclosed item of information constitutes prior art to the subject invention and specifically reserves the right to demonstrate that any such reference is not prior art.

4. Fee Payment

No fees are believed due because this Information Disclosure Statement is being filed before the mailing date of the first Office Action.

However, should the Commissioner determine that fees are due in order for this Information Disclosure Statement to be considered, the Commissioner is hereby authorized to charge such fees to Deposit Account No. 50-0665.

Respectfully submitted,  
Perkins Coie LLP

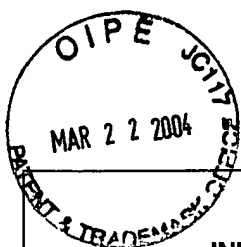


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**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

Form PTO-1449 (Modified)  
(Use several sheets if necessary)

**COMPLETE IF KNOWN**

Application Number	10783,763
Confirmation Number	(To Be Assigned)
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First Named Inventor	Whonchee Lee
Group Art Unit	(To Be Assigned)
Examiner Name	(To Be Assigned)
Attorney Docket No.	108298758US

Sheet 1 of 6

**U.S. PATENT DOCUMENTS**

Examiner Initials*	Cite No.	U.S. Patent or Application		Name of Patentee or Inventor of Cited Document	Date of Publication or Filing Date of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		NUMBER	Kind Code (if known)			
	**	U.S. Application No. 09/651,779 (Atty. Docket No. 10829.8515US)		Moore	Filed 08/30/2000	
	**	U.S. Application No. 09/651,808		Chopra et al.	Filed 08/30/2000	
	**	U.S. Application No. 09/653,392		Chopra et al.	Filed 08/31/2000	
	**	U.S. Application No. 09/653,411		Lee et al.	Filed 08/31/2000	
	**	U.S. Application No. 10/230,463 (Atty. Docket No. 10829.8672US)		Lee et al.	Filed 08/29/2002	
	**	U.S. Application No. 10/230,602 (Atty. Docket No. 10829.8674US)		Chopra	Filed 08/29/2002	
	**	U.S. Application No. 10/230,628 (Atty. Docket No. 10829.8673US)		Lee et al.	Filed 08/29/2002	
	**	U.S. Application No. 10/665,219 (Atty. Docket No. 10829.8705US)		Lee	Filed 09/17/2003	
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		NUMBER	Kind Code (if known)			
		2003/0054729	A1	Lee et al.	03/20/2003	
		2003/0109198	A1	Lee et al.	06/12/2003	
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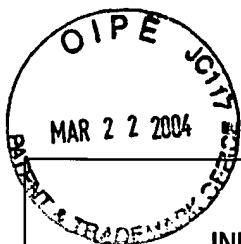
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Sheet	3	of	6	Attorney Docket No.	108298758US

U.S. PATENT DOCUMENTS						
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		NUMBER	Kind Code (if known)			
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Sheet 4 of 6

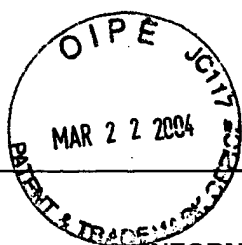
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		NUMBER	Kind Code (if known)			
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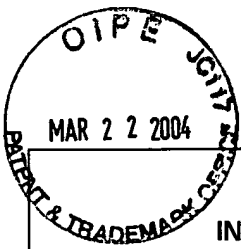
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		Office	NUMBER	Kind Code (if known)				
	**	EP	0459397	A2, A3	Kabushiki Kaisha Toshiba	12/04/1991		
	**	JP	2001077117	A1	Sony Corp.	03/23/2001		
	**	WO	02/064314	A1	Speedfam-IPEC Corporation	08/22/2002		
	**	WO	00/26443	A2, A3	Nutool, Inc.	05/11/2000		
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	**	WO	00/59008	A2, A3	Nutool, Inc	10/05/2000		
	**	WO	00/59682	A1	Nutool, Inc	10/12/2000		

OTHER PRIOR ART-NON PATENT LITERATURE DOCUMENTS					
Examiner Initials*	Cite No.	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume issue number(s), publisher, city and/or country where published.			T
	**	ABOAF, J.A. and R.W. BROADIE, IBM Technical Disclosure Bulletin, Rounding of Square-Shape Holes in Silicon Wafers, Vol. 19, No. 8, p. 3042, January 1977, XP-002235690, NN 77013042.			
	**	ATMI, Inc., adapted from a presentation at the Semicon West '99 Low Dielectric Materials Technology Conference, San Francisco, California, July 12, 1999, pp. 13-25.			
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	**	BERNHARDT, A.F., CONTOLINI, R.J., MAYER, S.T., "Electrochemical Planarization for Multi-Level Metallization of Microcircuitry," <i>CircuiTree Journal</i> , Vol. 8, No. 10, pp. 38, 40, 42, 44, 46, and 48, Oct. 1995.		
	**	D'HEURLE, F.M. and K.C. PARK, IBM Technical Disclosure Bulletin, Electrolytic Process for Metal Pattern Generation, Vol. 17, No. 1, pp. 271-272, June 1974, XP-002235691, NN 7406271.		
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	**	HUANG, C.S. et al., "A Novel UV Baking Process to Improve DUV Photoresist Hardness," pp. 135-138, Proceedings of the 1999 International Symposium on VLSI Technology, Systems, and Applications: Proceedings of Technical Papers: June 8-10, 1999, Taipei, Taiwan, Institute of Electrical and Electronics Engineers, Inc., September 1999.		
	**	JUCHNIEWICZ, R. et al. "Influence of Pulsed Current of Platinised Titanium and Tantalum Anode Durability," International Congress on Metallic Corrosion, Proceedings - Volume 3, pp. 449-453, Toronto, June 3-7, 1984.		
	**	KONDO, S. et al., "Abrasive-Free Polishing for Copper Damascene Interconnection," <i>Journal of the Electrochemical Society</i> , Vol. 147, No. 10, pp. 3907-3913, The Electrochemical Society, Inc., Pennington, New Jersey, 2000.		
	**	McGraw-Hill, <i>Concise Encyclopedia of Science &amp; Technology</i> , Sybil P. Parker, Editor in Chief, Fourth Edition, p. 367, McGraw-Hill, New York, 1998.		
	**	Micro Photonics, Inc., "CSM Nano Hardness Tester," 6 pages, retrieved from the Internet on July 29, 2002, < <a href="http://www.microphotonics.com/nht.html">http://www.microphotonics.com/nht.html</a> >.		
	**	Micro Photonics, Inc., CSM Application Bulletin, "Low-load Micro Scratch Tester (MST) for characterisation of thin polymer films," 3 pages, retrived from the Internet on July 25, 2002, < <a href="http://www.microphotonics.com/mstABpoly.html">http://www.microphotonics.com/mstABpoly.html</a> >.		
	**	PhysicsWorld, "Hard Materials", excerpt of "Superhard Superlattices," 1 page, January 1998, S. Barnett and A. Madan, retrieved from the Internet on July 29, 2002, < <a href="http://physicsweb.org/box/world/11/1/11/world-11-1-11-1">http://physicsweb.org/box/world/11/1/11/world-11-1-11-1</a> >.		

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